

**SES Performance Management System  
Executive Performance Agreement**



**Part 1. Consultation.** *I have reviewed this plan and have been consulted on its development.*

Executive's Name (Last, First, MI): Battin, Andrew, T

Appraisal Pd. 10/1/17 – 9/30/18

Executive's Signature:

Date: 11/29/17

Title: Director, Office of E-Enterprise for the Environment

Organization: OCFO

Rating Official's Name (Last, First, MI): Bloom, David, A

CA ☐ NC ☐ LT/LE ☐

Rating Official's Signature:

Date: 11/30/2017

**Part 2. Progress Review**

Executive's Signature:

Date: 7/23/2018

Rating Official's Signature:

Date: 7/23/2018

Reviewing Official's Signature (Optional):

Date:

Rating Official's Name (Last, First, MI): Bloom, David, A

Rating Official's Signature:

Date: 11/6/2018

Executive's Signature:

Date: 11/6/2018

Reviewing Official's Signature (Optional):

Date:

**Higher Level Review (if applicable)**

☐ I request a higher level review. Executive's Initials:

Date:

Higher Level Review Completed ☐

Date:

Higher Level Reviewer Signature:

**Performance Review Board Recommendation**

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

PRB Chair Signature:

Date:

**Annual Summary Rating**

☐ Level 5

☐ Level 4

☐ Level 3

☐ Level 2

☐ Level 1

Appointing Authority Signature:

Date:

**Part 4. Derivation Formula and Calculation of Annual Summary Rating**

**Summary Level Ranges**

475-500 = Level 5

400-474 = Level 4

300-399 = Level 3

200-299 = Level 2

Any CE rated Level 1 = Level 1

**Part 5. Critical Elements**

**Performance Standards for Critical Elements** (The performance standard for each critical element is specified below; examples for the top three performance levels can be found in the system description)

- **Level 5:** The executive demonstrates exceptional performance, fostering a climate that sustains excellence and optimizes results in the executive's organization, agency, department or government-wide. This represents the highest level of executive performance, as evidenced by the extraordinary impact on the achievement of the organization's mission. The executive is an inspirational leader and is considered a role model by agency leadership, peers, and employees. The executive continually contributes materially to or spearheads agency efforts that address or accomplish important agency goals, consistently achieves expectations at the highest level of quality possible, and consistently handles challenges, exceeds targets, and completes assignments ahead of schedule at every step along the way.
- **Level 4:** The executive demonstrates a very high level of performance beyond that required for successful performance in the executive's position and scope of responsibilities. The executive is a proven, highly effective leader who builds trust and instills confidence in agency leadership, peers, and employees. The executive consistently exceeds established performance expectations, timelines, or targets, as applicable.
- **Level 3:** The executive demonstrates the high level of performance expected and the executive's actions and leadership contribute positively toward the achievement of strategic goals and meaningful results. The executive is an effective, solid, and dependable leader who delivers high-quality results based on measures of quality, quantity, efficiency, and/or effectiveness within agreed upon timelines. The executive meets and often exceeds challenging performance expectations established for the position.
- **Level 2:** The executive's contributions to the organization are acceptable in the short term but do not appreciably advance the organization towards achievement of its goals and objectives. While the executive generally meets established performance expectations, timelines and targets, there are occasional lapses that impair operations and/or cause concern from management. While showing basic ability to accomplish work through others, the executive may demonstrate limited ability to inspire subordinates to give their best efforts or to marshal those efforts effectively to address problems characteristic of the organization and its work.
- **Level 1:** In repeated instances, the executive demonstrates performance deficiencies that detract from mission goals and objectives. The executive generally is viewed as ineffectual by agency leadership, peers, or employees. The executive does not meet established performance expectations/timelines/targets and fails to produce – or produces unacceptable – work products, services, or outcomes.

**Element Rating Level Points**

**Level 5 = 5 points**  
**Level 4 = 4 points**  
**Level 3 = 3 points**  
**Level 2 = 2 points**  
**Level 1 = 0 points**



Critical Element 3. Business Acumen	(Minimum weight 5%)	Weight 10%
Assesses, analyzes, acquires, and administers human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission. Uses technology to enhance processes and decision making. Executes the operating budget; prepares budget requests with justifications; and manages resources.		
Agency-Specific Performance Requirements		
As applicable, effectively promotes and supports meeting the Agency's Small Business Program goals and commitments, including implementing strategies for increasing potential contracting opportunities for Small Businesses, Small Disadvantaged Businesses, 8(a) Businesses, Service-Disabled Veteran-Owned Small Business, Women Owned Small Businesses and HUBZone Businesses. As appropriate, effectively promotes and supports meeting the Agency's Minority Academic Institutions Program goals through increased opportunities to Historically Black Colleges and Universities, Tribal Colleges and Universities, Asian American Pacific Islander Serving Institutions, Alaska Native Serving Institutions, Native Hawaiian Serving Institutions, and Hispanic Serving Institutions identified by the Department of Education's Award Categories.		
As applicable, modernizes business practices, including through E-Enterprise, and takes advantage of new tools and technologies. Improves the way we work as a high-performing Agency by ensuring we add value in every transaction with our workforce, our co-regulators, our partners, industry, and the people we serve. As applicable, promotes the use of strategic sourcing and business process improvements as a component of the Agency's High Performing Organization Cross-Agency Strategy.		
As applicable, ensures compliance with all personnel security and National Security Information requirements. Safeguards and protects classified information in the manner prescribed by regulation, directive and agency guidelines. Report incidents, in compliance with the National Security Information manual, involving the improper handling, unauthorized or inadvertent disclosure of classified information and violations of the security regulations.		
Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)		
See Attached		
Critical Element Rating – Business Acumen		

Critical Element 4. Building Coalitions	(Minimum weight 5%)	Weight 10%
Solicits and considers feedback from internal and external stakeholders or customers. Coordinates with appropriate parties to maximize input from the widest range of appropriate stakeholders to facilitate an open exchange of opinion from diverse groups and strengthen internal and external support. Explains, advocates, and expresses facts and ideas in a convincing manner and negotiates with individuals and groups internally and externally, as appropriate. Develops a professional network with other organizations and identifies the internal and external politics that affect the work of the organization.		
Agency-Specific Performance Requirements		
As applicable, engages communities to improve health, livability, and economic vitality of neighborhoods, while advancing Agency goals for environmental justice and children's health. As applicable, strengthens relationships with states, tribes, local governments, and the global community to build new tools and strategies, establish joint priorities, manage resources effectively, and share information.		
Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)		
See Attached		
Critical Element Rating – Building Coalitions		



**Critical Element 1. Leading Change****(Minimum weight 5%) Weight 10%**

Develops and implements an organizational vision that integrates key organizational and program goals, priorities, values, and other factors. Assesses and adjusts to changing situations, implementing innovative solutions to make organizational improvements, ranging from incremental improvements to major shifts in direction or approach, as appropriate. Balances change and continuity; continually strives to improve service and program performance; creates a work environment that encourages creative thinking, collaboration, and transparency; and maintains program focus, even under adversity.

**Agency-Specific Performance Requirements**

Advances EPA's cross-agency strategies to improve service and program performance, to include streamlining decision making to increase efficiency and reduce costs, and to achieve sustainable environmental, economic, and social outcomes.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

Critical Element Rating – Leading Change

**Critical Element 2. Leading People****(Minimum weight 5%) Weight 25%**

Designs and implements strategies that maximize employee potential, connects the organization horizontally and vertically, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full potential; allows for full participation by all employees; facilitates collaboration, cooperation, and teamwork, and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Holds employees accountable for appropriate levels of performance and conduct. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion, and equal employment policies and programs.

**Agency-Specific Performance Requirements**

Employee is personally engaged in the development and success of Agency Civil Rights, EEO, and Diversity and Inclusion programs and/or initiatives, including action items identified in the Agency's *Management Directive 715 Report*. Promotes respectful, cooperative, and productive relationships between all employees including diverse individuals and teams in support of EPA's mission. Ensures compliance with applicable equal employment opportunity laws, regulations, policies, and Executive Orders. Engages in proactive efforts to minimize workplace conflict and enhance management-employee communication, and promotes employee career development. When conflict arises, participates actively in EEO processes and resolution efforts, including alternative dispute resolution, EEO Counseling activities, and EEO investigations and hearings. Applies Merit Systems Principles as appropriate, promptly responds to allegations of discrimination and/or harassment, and initiates appropriate action to address such situations.

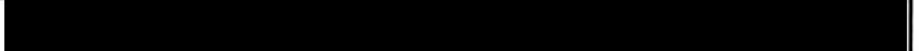
As applicable, supports efforts within organization to cultivate a highly-skilled workforce, providing employees with opportunities to learn and work collaboratively in a modern, inclusive, and flexible work environment, and supporting their use of advanced information technologies and tools that enhance communication, transparency, and cooperative problem solving across the Agency and with our partners. Employee uses employee feedback and other data to develop action plans or initiatives to improve employee engagement and inclusion.

Rating Official Narrative: *(Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)*

*See Attached*

Critical Element Rating – Leading People



Critical Element 5. Results Driven	(Minimum Weight 20%) Weight 45%
<p><b>Agency Goals/Objectives for current FY: The executive must list at least 2 performance requirements. The executive may list up to 10 in total; overflow space provided on following page. Calibri 10 font required.</b></p> <p>This critical element includes specific performance requirements expected of the executive during the appraisal period, focusing on measurable outcomes from the strategic plan or other measurable outputs and outcomes clearly aligned to organizational goals and objectives. At a minimum, the performance plan will include performance requirements (including measures, targets, timelines, or quality descriptors, as appropriate) describing the range of performance at Level 3 for each result specified. It is recommended to also establish the threshold measures/targets for Levels 5 and 2.</p> <p>Alignment--cite relevant goals/objectives, page numbers, from the Strategic Plan, Congressional Budget Justification/Annual Performance Plan, or other organizational planning document in the designated section for each performance requirement specified.</p>	
<p><b>Performance Requirement 1:</b></p> <p>Ensure the implementation of Cooperative Federalism through E-Enterprise shared governance: Support the E-Enterprise Leadership Council in strategic direction setting, and decision making (ongoing). Co-Chair the E-Enterprise Management Board (MB) and ensure progress on the portfolio of existing projects in conjunction with the Interoperability and Operations Team (IOT). Portfolio oversight will be accomplished using the EELC Dashboard and associated measures/metrics.</p>	<p><b>Strategic Alignment:</b></p> <p>Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.</p> <p>Supports all four goals of OCFO Strategic Plan, 2016-2020</p>
<p><b>Performance Requirement 2:</b></p> <p>Continue to build cross Agency and intergovernmental support for and participation in E-Enterprise. Continue development of the Regional E-Enterprise Coordinators (REECs) network by identifying Regional contacts (Q1), conducting joint meetings with associated regional networks (i.e. - RTOCs). Identify equivalent state contacts (Q2)</p> <p>Work with Programs and regional offices to identify in collaboration with the states/tribes, regional-state-tribal business process modernization projects or activities currently proposed or underway, that are aligned with the goals of E-Enterprise. Support each Region in identifying streamlining and modernization activities in the PPAs/PPGs or equivalent agreements with state/tribe co-regulators, and identify work load trade-offs as may be appropriate (Q4).</p> <p>Strengthen tribal participation in E-Enterprise through the development of a Tribal Cooperative Agreement: Solicitation notice (Q1), selection of support provider (Q2), mentoring and transition of support activities to provider (Q3), evaluation of new support mechanism (Q4).</p>	<p><b>Strategic Alignment:</b></p> <p>Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.</p> <p>Supports all four goals of OCFO Strategic Plan, 2016-2020</p>
<p><b>Rating Official Narrative: (Supervisor must provide comment for critical element ratings of Outstanding, Needs Improvement, and Unsatisfactory)</b></p>	
<p><b>Critical Element Rating – Results Driven</b></p>	

**Critical Element 5. Results Driven – Overflow page for up to 8 more performance requirements; Calibri 10 font required.****Performance Requirement 3:**

Support the creation and adoption of Shared Services developed under E-Enterprise: Work across–agency and with co-regulators to identify best practices and priorities for shared services (Q1), work collaboratively to identify and focus resources to develop new Shared Services as may be needed (Q2), develop guidance and communications to support adoption of best practices and Shared Services across EPA, and where appropriate for states and tribes (Q3), and evaluate progress and effectiveness of the standard processes and Shared Services as part of the accountability framework under E-Enterprise (Q4).

**Strategic Alignment:**

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

**Performance Requirement 4:**

In collaboration with OEI, NPMs and Regions, ensure alignment of E-Enterprise goals as appropriate for State/Tribe Environmental Information (Exchange Network) grants (Q1), participate in the evaluation and selection of grant applications (Q2), award funding by (Q3), and develop criteria for the next FY STAG solicitation notice (Q4).

**Strategic Alignment:**

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

**Performance Requirement 5:**

Develop and utilize alternative approaches to doing business differently in OCFO and across the agency through streamlining business processes to gain efficiencies and reduce burden. Establish joint State/Tribal/EPA processes through the E-Enterprise Leadership Council (EELC) to propose and reach consensus on two new (2) programs/projects for scoping and Business Case/Return on Investment analysis by end of Q3 (i.e. - Delegated Permitting, and Quality Assurance Project Plans). Follow-on work (i.e. - Lean event, pilot alternative approaches will commence on the two selected programs/projects by the end of Q4. Provide leadership in supporting the OCFO Strategic Plan Goal 4 champion (ongoing).

**Strategic Alignment:**

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

**Performance Requirement 6:**

Implementation of the Agency Priority Goal (APG for FY2018-2019): Accelerate permitting-related decisions. Strengthen environmental protection through business process improvements related to permitting-related decisions where there are shared inter-governmental (EPA, States, and Tribes (EST)) responsibilities. FY2018 activities will include: development of joint EST measures (Q1), formulation of joint EST project team (Q2), conduct joint EST lean event (Q3), pilot joint EST solution (Q4).

**Strategic Alignment:**

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020

**Performance Requirement 7:**

Achieve human capital objectives consistent with OCFO Strategic Plan—vision, mission, values, goals, activities, and associated measures. Carry out workforce/succession planning and recruitment plans to support long-term workforce stability. Mentor/coach OEE staff to support their near-term/longer-term training and professional development objectives, and strengthen employee engagement and empowerment (ongoing). Advertise Skills Market Place position for SharePoint support (Q1), Select and fill position (Q2). Integrate Skills MarketPlace Position into E-Enterprise team and monitor progress (Q3-Q4).

**Strategic Alignment:**

Enabling and supporting outcomes of the Agency's 2018 – 2022 Strategic Plan.

Supports all four goals of OCFO Strategic Plan, 2016-2020



<b>Part 6: Summary Rating Narrative (Mandatory) Supervisor must provide comment for all ratings.</b>	
See Attached	

**Part 7: Executive's Accomplishment Narrative** – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.





Part 8: Agency Use

Executive Development Plan
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Employee Name (Last, First, MI)
Battin, Andrew, T

From: 10/1/17

To: 9/30/18

<b>Long Term Goal:</b>	Develop skills for future Executive Leadership opportunities
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Develop skills for future Executive Leadership opportunities

**Short Term Goal:**

Maintain proficiency through core training as required annually
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### Career Goals & Development Objectives

### Specific Development Activities

Goals/Objectives
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Activity

<b>Time Frame</b>
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Discussion and/or approval of the Executive Development Plan.

Employee
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Signature

Date

Supervisor

Signature 

Date 11/30/2017

<p>Approving Official</p>
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Signature \_\_\_\_\_

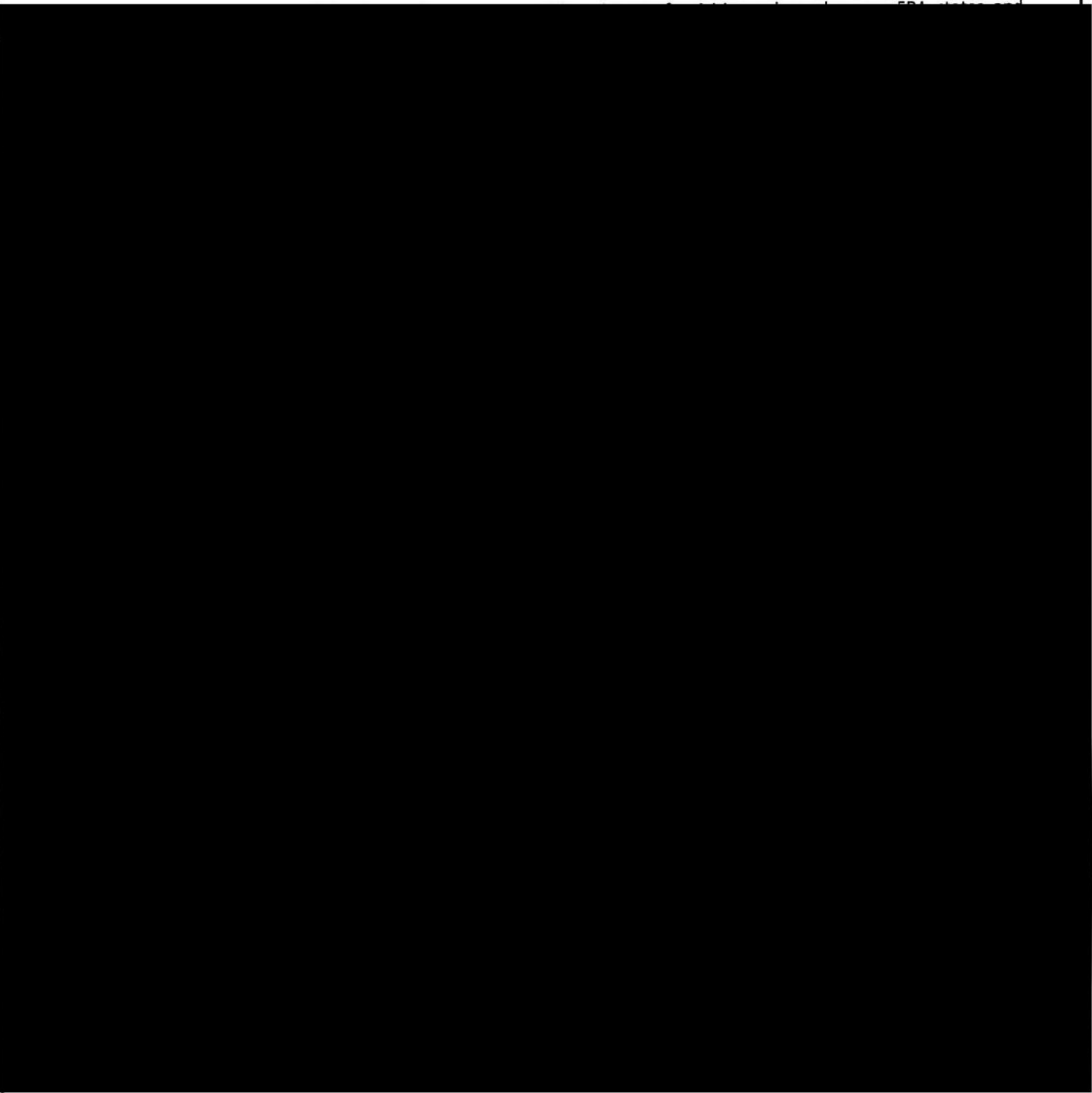
Date



Executive Name and ID:

Rating Period: 10/01/17 – 9/30/18

**Part 7: Executive's Accomplishment Narrative** – Executive must provide narrative for all Critical Elements within the 2 pages provided. Calibri 10 font required.






Andrew Battin

## Leading People

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